Rocky Mountain Remediation Services, L L C
protecting the environment

PROCEDURE

PREPARATION AND CONTROL OF RMRS DOCUMENTS

RMRS-QA-05 01
Revision 1
Effective Date 06/03/99

APPROVED: _____ 05/25/99
Manager Quality Assurance — Date

1 PURPOSE

This procedure provides direction for the preparation review revision changes issuance and cancellation of RMRS policies directives manuals engineering technical standards procedures instructions and job-aids RMRS documents are intended to be

- Easy to use
- Easy to change and revise
- Written to the skill of the user
- Free of unnecessary requirements

The process control implemented by this procedure is depicted in Appendix 1, Document Development and Control Process Flow Diagram

This procedure implements portions of DOE Order 5700 6C Quality Assurance DOE Order 5480 19 Conduct of Operations 10 CFR 830 120 Quality Assurance Requirements, MAN 001-SDRM Site Documents Requirement Manual (SDRM) ASME NQA 1-1994 Quality Assurance Requirements for Nuclear Facilities RFETS Site Quality Assurance Manual and portions of RMRS-QAPD-001 RMRS Quality Assurance Program Description

This revision of QA-05 01 Preparation And Control of RMRS Documents, is a complete rewrite and revision bars have been omitted

2 SCOPE

This procedure applies to RMRS personnel involved in the preparation, modification, and use of RMRS documents for controlling activities or processes at Rocky Flats Environmental Technology Site (Site) This procedure only applies to documents being developed for use within RMRS or RMRS subcontracted services Documents with Site applicable requirements and direction shall be prepared revised, changed, and issued in accordance with the provisions of the SDRM

It is at the Responsible Manager s (RMs) discretion to determine the type of document needed The level of detail and extent to which controls are prescribed in RMRS documents is contingent on

- The operations or activities relative
- The magnitude of any hazard involved in conducting the operation or activity
- The life cycle stage of a facility or activity
- The programmatic mission of a facility or activity
- Particular characteristics of a facility or activity
- Any other relevant factors specifically to include the skill level of the individuals performing the activity

NOTE *Except as specifically excluded below RMRS documents that direct control or prescribe work shall be prepared, reviewed, revised, changed, issued, and/or cancelled in accordance with this procedure*

This procedure does not apply to

- Operator Aids
- Standing Orders
- Shift Orders
- Operations Orders controlled by MAN-066-COOP Site Conduct of Operations Manual (COOP)
- Subcontractors who have an unrestricted status on the Approved Supplier List (ASL) and are providing a service under a Procurement Level 1 (PL-1) requisition
- Work instructions in the Integrated Work Control Program (IWCP), or the development of Site Safety Analysis Reports (SARs), Basis for Interim Operations (BIOs), Basis for Operations (BFOs), Justification for Continuous Operations (JCOs) and other authorization basis specific documents

Decision documents (PAMs, IM/IRAs, DOPs, etc) Implementation Plans, Remedial Actions, Sampling Analysis Plans (SAPs), or similar documents shall comply with the requirements of this procedure for format and review requirements

3 DEFINITIONS

NOTE *Definitions below are unique to this procedure*

Directive RMRS directives are used as methods of passing on programmatic or administrative direction where other documents are not in existence to control the practices involved

Document History File (DHF) Documents that evidence the development, review concurrence approval, revision and control of a document. The DHF includes, but is not limited to the following items

- Draft document submitted for review and comment
- Document review transmittal correspondence, justification for revision(s) to the document (May be included in Document Review Transmittal Correspondence)
- Verification and validation documentation (If required)
- Screening/Safety Reviews (If required)
- Completed review comment resolution documentation, including an Accounting of Reviewer Comment Status (Refer to Appendix 2 for an example)
- Delegation of authority letter, as required
- Electronic copy of the document
- Completed RMRS Controlled Document Checklist
- Classification review, as required

Site-Applicable Document Documents that cross company boundaries and apply to more than one company at the Site are developed and controlled by the SDRM

General Comment Comments designated by a reviewer based on the reviewer's knowledge or area of expertise and identified by a (G) on the Review Comment Sheet (Refer to the SDRM for sample form) or preceding the comment if the e-mail method of review and comment is used. General comments reflect the reviewer's opinion and do not indicate a violation of technical or administrative orders or laws General comments will be considered and incorporated as deemed appropriate by the RM or their designee General comments do not require concurrence from the comment originator

Instruction Provides direction to perform a simple task or activity that if performed incorrectly will have minimal consequences

Job Aid Provides useful information as a reminder for the performance of a task For example it could be drawings tags graphs or charts Job aids should not be used in place of a procedure when a procedure is warranted should not conflict with or supersede approved procedural instructions and should not cover subject matter that would address safety envelopes radioactive and hazardous materials maintenance operating procedures test procedures surveillance procedures analytical procedures emergency responses Vital Safety System (VSS) equipment Operational Safety Requirements (OSRs) or Technical Safety Requirements (TSRs) Job-aids are developed at the discretion of the RM and are not included in the RMRS Document Control process (Reference MAN-066 COOP Site Conduct of Operations Manual)

Mandatory Comments Comments identified by a (M) on the Review Comment Sheet (Refer to the SDRM for sample form) or preceding the comment if the e mail method of review and comment is used Valid mandatory comments shall be dispositioned and concurred with by the reviewer s organization Comments indicated by the reviewer as mandatory should be based on the following

- Technical information that is necessary to meet the mission needs of the reviewer's organization
- Non-compliance with or omission from a requirement, regulation DOE Order etc
- Technical accuracy or logic disconnects

Mandatory comments may be downgraded to General if the above basis suggestions are not met The reviewer is responsible for clearly depicting the basis for making a Mandatory comment Comments will not be downgraded without notifying the comment originator The RM or their designee has final decision on comment resolution

Manual Defines the necessary and sufficient programmatic requirements needed to implement a program

Policy Written core value statements signed by the RMRS President to all employees to express senior management s expectations for conducting business at the Site

Procedure Written documents that set forth the responsibilities and methodologies for performing a process with complex steps and/or a moderate to high potential risk hazard and/or consequence

A procedure may contain written instructions to conduct operations evaluations tests, or to respond to abnormal or emergency situations or enunciators or alarms for alarm panels Administrative procedures describe the actions and responsibilities for performing activities that establish management and programmatic controls for RMRS Technical procedures describe the actions and responsibilities for performing activities that include but are not limited to production operation surveillance of equipment and facilities, and maintenance

Verification and Validation (V&V) A process whereby a technical procedure is tested to ensure sufficient detail exists to support adequate consistent and effective completion of the task as described in the procedure

4 RESPONSIBILITIES

4 1 Responsible Manager (includes designees or document originators)

- Appoint knowledgeable personnel to develop documents for activities and processes
- Ensure appointed personnel are aware of and understand the requirements of this procedure and/or SDRM as required for site compliance

- Ensure that affected organizations are included in the review of documents including Quality Assurance Health and Safety and Environmental Compliance and any applicable Site safety committees or boards
- Approve documents developed within their organization
- Implements procedure utilization where appropriate
- Provide training for documents as required

4 2 Functional Managers

- Are accountable for the safety and quality of activities performed in accordance with documents used at the site
- Participate in the review of documents
- Ensure personnel attend training as required

4 3 Environmental Compliance

- Prior to approval, review documents, as requested, to ensure that applicable environmental laws, regulations, requirements, and orders have been incorporated

4 4 Quality Assurance

- Prior to approval, review documents to ensure that appropriate quality controls have been incorporated

4 5 Health and Safety

- Prior to approval review documents as requested, to ensure that site applicable health and safety laws, regulations requirements, and orders have been incorporated

4 6 RMRS Document Control

- Assign, log, and track RMRS document numbers (controlled and uncontrolled)
- Issue RMRS controlled documents
- Maintain the master document and DHF for the current revision
- Issue and transmit the master document and DHF of previous revisions to the RMRS Records Center
- Provide document originators with information on record retention and final disposition

5 INSTRUCTIONS

The process control implemented by this procedure is depicted in Appendix 1, Document Development and Control Process Flow Diagram

5 1 Define Applicability

[1] The RM or their designee determines if the document to be developed has Site applicability If the document is site-applicable, then the RM or their designee develops or revises the document in accordance with the provisions of the SDRM When the document applies only to RMRS, follow the instructions in this procedure

[2] The RM or their designee submits approved site-applicable documents to RMRS Document Control, including completed forms required by MAN-063-DC, Document Control Program RMRS applicable documents are submitted to RMRS Document Control in accordance with RMRS-DC-06 01 Document Control Program

5 2 Establish Document Type

[1] The RM or their designee using Appendix 1 Document Development and Control Process Flow Diagram determines the type of document to be produced

5 3 Develop Document

5 3 1 *Initiate Document History File*

[1] The RM or their designee shall initiate the RMRS Controlled Document Checklist (Refer to RMRS-DC-06 01 Document Control Program) The RM or their designee shall initiate the checklist and maintain it until it is transmitted with the DHF to Document Control

[2] Refer to Appendix 3 Technical Procedures Forms Matrix for guidance regarding on required reviews on Technical Procedures

5 3 2 *Develop Draft/Revision*

[1] The RM or their designee shall ensure that the provisions of this procedure are met and that all applicable laws regulations orders and requirements are addressed appropriately

[2] The RM or their designee should contact the appropriate support organization with expertise in the area of concern for assistance in preparation of documents (e g Safety Quality Assurance Nuclear Safety Environmental Compliance Waste Management, etc)

[3] The RM or their designee shall obtain a document number from Document Control Numbers are assigned by RMRS Document Control in accordance with the provisions of DC 06 01 Document Control Program

[4] Verify the references cited in the reference section as correct and current Update as required

5 3 2 1 Policies Directives and Job-Aids

[1] The RM or their designee shall format RMRS policies directives and job-aids in accordance with Appendix 4 Example RMRS Policies Directives, Job-Aids Format

[2] The RM or their designee should utilize the definition section of this procedure for determining the scope and content of policies directives and job-aids The SDRM may also be considered for determining appropriate content and scope

[3] When developing job-aids the RM or their designee should consider the guidance provided in MAN 066-COOP Site Conduct of Operations Manual

5 3 2 2 Manuals Engineering Technical Standards Procedures, and Instructions

[1] The RM or their designee shall format RMRS manuals procedures and instructions in accordance with Appendix 5 Example RMRS Manual Procedure Instruction Format

[2] The RM or their designee should utilize the definition section of this procedure for determining the scope and content of manuals procedures and instructions The SDRM may also be considered for determining appropriate content and scope

[3] The RM or their designee shall ensure that forms and documents resulting from the implementation of the document are identified as a Quality Assurance (QA) a Non QA record, and/or a CERCLA Administrative Record Retention periods and final disposition shall be identified for each record generated

[4] The originator should have the document reviewed by peers prior to submitting to the manager for approval or before distributing for review by other groups within RMRS All reviews should be documented and include comments comment resolution and comment resolution concurrence

[5] Each step in a procedure or instruction, which controls or is used to meet an Operational Safety Requirement (OSR), Basis For Operation (BFO), technical specification, or regulatory permit condition shall reference the specific requirement in bold typeface after the step This aides by providing a tie in between the source requirement and the implementation as well as reminding the operator of the source of the step

NOTE *Guidance on identifying records is provided in V41-RM-001 Records Management Guidance for Records Sources RM-06 02 Records Identification, Generation, and Transmittal and PRO-077-WIPP-005 Management of WIPP Information Prior to Transmittal to WIPP Project File Retention, duration, location, and final disposition requirements shall also be described in the records section of the procedure. Additional guidance should be sought from the RMRS Records Management Organization.*

5 4 Review

[1] The originator should subject the document to a peer review prior to distributing the document for review by other groups within RMRS (parallel review)

5 4 1 *Identification*

[1] The RM or their designee shall identify organizations affected by the document (Reference MAN-001-SDRM, Site Documents Requirements Manual) Organizations affected include those who use the document, supply a material, service, or data in accordance with the document, or receive a service, product, or data in accordance with the document Organizations affected also include same-tier subcontractors who are the landlord in the facility in which the document will be implemented.

[2] Manuals, procedures and instructions including changes and revisions will be submitted to the QA organization for review and comment resolution prior to approval, or field implementation of changes

5 4 2 *Assemble Package*

[1] The RM or their designee shall assemble a review package consisting of a copy of the document in draft form a Review Comment Sheet and related continuation page (Refer to the SDRM for sample form) and Appendix 6 Document Review Transmittal Correspondence Subsequent document drafts should be included if multiple drafts are generated. The transmittal correspondence shall include a description of the change or justification for the document, the comment due date, and a statement concerning disposition of comments received after the due date The transmittal correspondence shall be retained in the DHF

[2] As an alternative to step [1] of this section it is acceptable to e-mail the document in draft form to the reviewers as an attached file The body of the e-mail message shall contain the same

information as the Document Review Transmittal Correspondence Use of the Review Comment Sheet for capturing comments is optional A printed copy of the e mail message shall be included as part of the DHF

5 4 3 *Transmit for Review (Parallel Review)*

[1] The RM or their designee shall transmit the review package to the affected organizations and when possible allow two weeks for delivery review and return of comments

5 4 4 *Review and Comment*

[1] The affected organization shall distribute the document as deemed appropriate to provide for effective review and comment

[2] To prevent extraneous comment resolution reviews should be limited to essential individuals involved in the technical process or activity covered by the document

[3] To ensure comments are considered, every effort shall be made to meet the comment due date Comments received after the due date and not resolved shall not preclude reviewing organizations from concurring with the document Late comments will be resolved during the next revision

[4] All comments should be identified as either (M) for mandatory or (G) for general Comments not identified with (M) or (G) are considered to be general comments It is not necessary to use a Review Comment Sheet if comments are returned to the RM or their designee via e mail

5 5 Comment Resolution

5 5 1 *Comment Disposition/Concurrence*

[1] The RM or their designee with assistance from the Subject Matter Expert (SME) will incorporate comments as appropriate and record the disposition of each comment on the Review Comment Sheets or printed e mail response The Review Comment Sheets or printed e-mail responses shall be retained in the DHF Concurrence shall be obtained for the resolution of mandatory comments Resolution of mandatory comments will be evidenced by the comment originator s acceptance in the Resolutions Accepted block on the Review Comment Sheet or via e-mail from the originator of the comment(s) indicating resolution acceptance A copy of the Review Comment Sheet or printed e mail response indicating resolution acceptance shall be retained in the DHF

5 6 Verification and Validation

5 6 1 *Verification*

[1] The RM or their designee shall conduct and document a verification review for new and revised technical procedures Documented reviews shall be retained in the DHF The following items should be considered as a minimum

- Operational Safety Analysis (OSA)/Operational Safety Requirements (OSR)/TSR/OSHA applicability
- Ability to complete the task as written
- Accurate directions for form completion

- Complete correct and available references
- Complete and accurate DHF package

A verification checklist (Refer to the SDRM for sample form) may be used as verification review documentation

5 6 2 *Validation*

[1] For new or revised technical procedures the RM or their designee shall conduct and document a validation review prior-to-approval The RM or their designee assigns a validator to perform a simulated or actual walkdown of the document to determine whether the document can be correctly, safely, and effectively performed. A Validation Checklist (Refer to the SDRM for sample form) may be used for documenting the review The documented review shall be maintained in the DHF

5 7 Screening/Safety Reviews

[1] For all new changed, or revised manuals procedures and instructions, with the potential to cause radiological harm, the RM or their designee shall obtain an Safety Evaluation Screen/Unreviewed Safety Question Determination (SES/USQD) process review in accordance with 1-C10-NSM-04 03, Safety Evaluation Screen, and 1-C11-NSM-04 05, Unreviewed Safety Question Determination Documents may be exempted from the SES/USQD process if they meet the requirements of 1-C10-NSM-04 03, Appendix 1, Categorical Exclusion from the SES/USQD Review Process Documented evidence of screening activities or exemption determination shall be retained in the DHF, including the Procedures/Documents Requiring Independent Safety Review form (Appendix 3, 1-52000-ADM-02 01)

[2] If not exempted, then the RM or their designee shall initiate an Independent Safety Review (ISR) (formerly known as Operations Review Committee [ORC] review) for new, changed, or revised manuals, procedures, and instructions ISRs shall be performed in accordance with 1-52000-ADM-02 01, Operations Review Requirements Documented evidence of ISRs will be retained in the DHF

[3] Procedures generated to perform hazardous work shall be generated in accordance with MAN-017-IWCP, Integrated Work Control Program and this procedure

5 8 Supplemental Review

[1] The RM or their designee should consider having documents resubmitted for review and comment if they have been extensively revised or changed as a result of internal or external reviews V&V reviews, safety screens, or ISRs

5 9 Approval

[1] After resolution of comments, appropriate concurrence, and any required safety review comment resolution the RM or their designee shall obtain a review for classification, as required in accordance with the Site Security Manual, and approval of the document Approval authority for documents is depicted in Appendix 7 RMRS Document Hierarchy Approval documentation, including correspondence, shall be retained in the DHF

[2] Documents become effective on the date indicated on the first page The RM or their designee and organization managers should agree on the effective date to allow sufficient time for document distribution and training of personnel

5 10 Training/Issuance/Document History File

[1] Training for effective implementation of RMRS documents will be considered on a case by case basis by the RM or their designee and other managers affected by the document Where base competency requires training it shall be coordinated with the RMRS training organization The RM or their designee shall define training certification and qualification requirements for the document

[2] After approval of the document the RM or their designee shall assemble the master document and DHF and formally transfer the package to RMRS Document Control

[3] With the exception of Job-Aids (operator aids are defined in MAN 066 COOP Site Conduct of Operations Manual) all active documents shall have a controlled distribution

[4] RMRS Document Control using transmittal receipt acknowledgment forms shall facilitate controlled distributions Controlled distribution should be extended to the Site Standards Management organization

5 11 Changes, Revisions, Periodic Reviews, and Cancellation

[1] Changes to documents are facilitated by the RM or their designee Changes differ from revisions in that changes do not require re issue of the document, and may be handwritten typed or word processed The RM or their designee may make changes by obtaining the electronic copy of the document from Document Control and editing it to reflect the change A vertical change bar is placed to the left of the change in the document margin and the date is placed vertically outside of the revision bar No other changes to the page or header are required

[2] The RM determines if review of the change is required and obtains the necessary review(s) prior to submitting the change to Document Control for controlled distribution Review and comment disposition related to document changes including field changes will be documented and retained in the DHF

[3] The RM transmits the change to RMRS Document Control for controlled distribution of the change

[4] The RM should initiate a document revision when changes have made the document difficult to perform or when the process being controlled by the document has changed

[5] The RM begins the revision by initiating a Document Development Checklist, obtaining the electronic version from Document Control making revisions as necessary and following the process defined in sections 5 4 through 5 9 Revisions require the same level of review as the original issue

[6] The RM should initiate a periodic review to ensure that the document accurately and adequately satisfies current technical and administrative requirements and guidelines Frequency should be based on the following schedule

1 year - Emergency Preparedness procedures
3 years Procedures that potentially affect vital safety systems
4 years - all other documents

[7] The RM initiates cancellation of documents by formally notifying RMRS Document Control Document Control facilitates cancellation through transmittal receipt form and retains the canceled document and DHF in accordance with records management requirements

[8] For *field changes* the RM or their designee determines if review of the change is required (Refer to sections 5 4 1[2], and 5 7) and obtains the necessary review(s) and concurrence prior to implementation in the field Field changes will be transmitted to RMRS Document Control for controlled distribution within 48 hours, beginning the next scheduled workday after the change was made

6 RECORDS

The following documents generated during the performance of this procedure must be controlled as follows

Record Identification	Record Type Determination	Protection / Storage Methods	Processing Instructions
Documents related to **WIPP/LL/LLM** DHF includes the following as needed a) completed review comment resolution documentation, b) draft document submitted for review, c) justification for revision d) verification and validation, e) electronic copy of approved document f) RMRS Controlled Document checklist.	*In-process WIPP/LL/LLM Quality Assurance Record*	Manager shall implement reasonable level of protection to prevent loss and/or degradation while in process Documents shall be protected utilizing standard office equipment and methods when not in use	Continue prescribed processing of documents Once approved by the responsible manager transmit the document and DHF to RMRS Document Control Center in accordance with DC-06 01
Documents **NOT** related WIPP/LL/LLM DHF includes the following as needed a) completed review comment resolution documentation b) draft document submitted for review, c) justification for revision, d) verification and validation e) electronic copy of approved document, f) RMRS Controlled Document checklist.	*Quality Assurance Record*	Manager shall implement reasonable level of protection to prevent loss and/or degradation while in process Documents shall be protected utilizing standard office equipment and methods when not in use	Continue prescribed processing of documents Once approved by the responsible manager, transmit the document and DHF to RMRS Document Control Center in accordance with DC-06 01

7 REFERENCES

10 CFR 830 120 Quality Assurance Requirements

1 52000 ADM 02 01 Operations Review Requirements

1 C10 NSM 04 03 Safety Evaluation Screen

1 C11 NSM 04 05 Unreviewed Safety Question Determination

ASME NQA 1 1994 Quality Assurance Requirements for Nuclear Facilities

DOE Order 5480 19 Conduct of Operations

DOE Order 5700 6C Quality Assurance

IWCP Manual

MAN 001 SDRM Site Document Requirements Manual

MAN 063 DC Document Control Program

MAN 066-COOP Site Conduct of Operations Manual

PRO-077 WIPP 005 Management of WIPP Information Prior to Transmittal to WIPP Project File

RFETS Site Quality Assurance Manual

RMRS DC-06 01 Document Control Program

RMRS QAPD 001 RMRS Quality Assurance Program Description

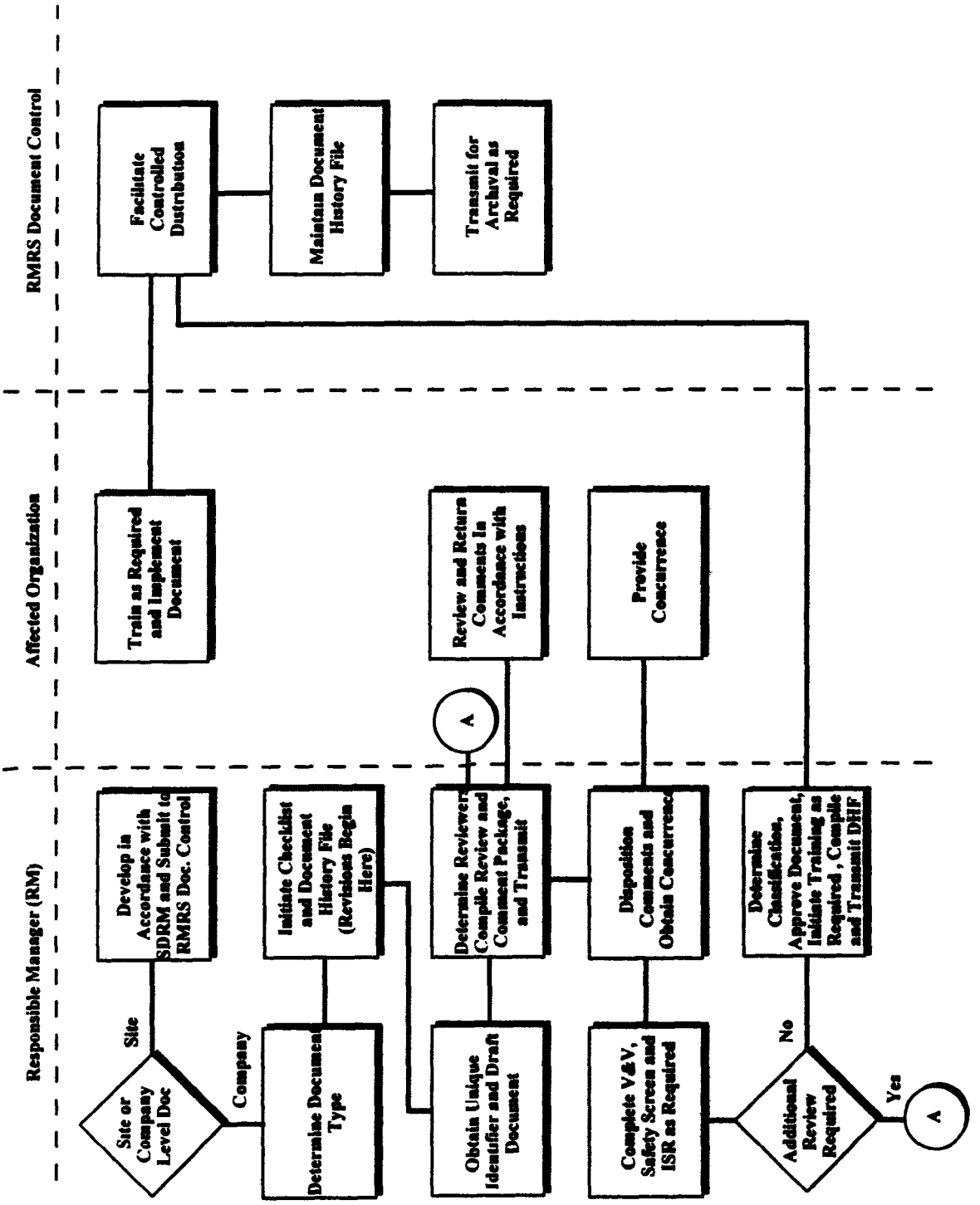
RMRS RM 06 02 Records Identification Generation and Transmittal

Site Security Manual

V41-RM 001 Records Management Guidance for Records Sources

APPENDIX 1

DOCUMENT DEVELOPMENT AND CONTROL PROCESS FLOW DIAGRAM



APPENDIX 2

EXAMPLE OF ACCOUNTING OF REVIEW COMMENT STATUS

RMRS Rocky Mountain Remediation Services L L C
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INTEROFFICE CORRESPONDENCE

DATE [Date]

TO Document History File

FROM [Name, Organization Location Extension]

SUBJECT Accounting of Reviewer Comment Status for [Document Title and Number] - [Number]

Revision [Revision number] of the subject document was transmitted for review and comment to the following individuals on [Date] Comments are indicated below

J F Arter	No response
J R Brookfield	No comment
M C Carter	The procedure was reviewed in person Comments from this discussion were resolved
M V Davis	Mandatory comments were resolved
G P Emerson	General comments were resolved
C A Forrest	No comment
J R Gray	Mandatory comments were resolved
T M Handy	General comments were resolved

[Author Initials/Typist Initials]

APPENDIX 3

TECHNICAL PROCEDURES FORMS MATRIX

Technical Procedures	New	Revision	Intent Change	Nonintent Change	IPC (SSOC only)	Editorial Correction	Periodic Review
Work Control Form (WCF) IWCP App 2 1	R	N	N	N	N	N	N
Activity Screening Form (ASF) IWCP App 2 2	R	R	R	N	N	N	N
Document Change Form (DCF) SDRM App 1	R*	R*	R*	R*	N*	R*	N
Review & Comment Form (SDRM, App 2)	R	R	R	O	N	O	N
Job Hazards Analysis (JHA) IWCP App 3 4 "Credentials"	R	R	R	N	N	N	N
Verification Checklist SDRM (App 9)	R	R	O	O	N	N	N
Validation Checklist SDRM (App 8)	R	R	O	O	N	N	N
Periodic Review Evaluation SDRM App 7	N	N	N	N	N	N	Y
SES Cat Exclusion (NSM-04 03, App 1)	O**	O**	O**	N**	N**	N**	N**
SES/USQD Process Work Request (NSM-04 03, or NSM-04 05)	O	O	O	N	N	N	N
ISR Checklist (ADM-02 01, App 3)	R	R	O	N	N	N	N
Post Job Review (PJR) Checklist (IWCP App 11 1)	***	***	***	***	***	***	N
DRT Form RF-48002	R	R	R	R	R	R	N
Controlled Document Quality Verification Checklist	R	R	R	R	R	R	N
Controlled Copy Distribution Request (CCCR) RF-48001	R	O	N	N	N	N	N

R = Required
N = Not Required
O = Optional

* RMRS Controlled Document Checklist, DC 06 01 Appendix 2 in place of the DCF
** For work performed by RMRS in SSOC Facilities, SSOC Cat. Exclusion (USQP1, App 1)
*** Technical procedures must incorporate steps in the Post-Performance Activity section which direct the user to the PJR Checklist or a ' formal" PJR

APPENDIX 4

EXAMPLE RMRS POLICIES, DIRECTIVES, JOB-AIDS FORMAT

Rocky Mountain
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TYPE OF DOC

[TITLE] [Unique Identifier No]

[Draft/Revision]

Effective Date XX/XX/XX [First Page Only]

APPROVED _____ _____ Page 1 of XX
[Responsible Manager Organization] Date

1 PURPOSE

[State the purpose of the document Where possible reference should be made to the driver (requirements laws orders etc) leading to the development of the document]

2 SCOPE

[State the scope of the document including where it applies and where it does not apply]

3 [Policy, Directive, or Job-Aid]

Policies should meet the following guidance

- Provide a broad statement of core values principles philosophies goals standards or accepted practices
- Define senior management s expectations
- Apply to all RMRS and subcontractor personnel
- Do not contain instructions
- Do not conflict with Site or other company policies

Directives should meet the following guidance

- May be developed for controlling programmatic practices
- Should not be developed for the purpose of controlling work
- Should not override any Site policy or any other controlled document
- Should not be used to temporarily correct another controlled document
- Should be short in nature with the intent clearly stated to promote understanding and to avoid confusion

Job Aids should meet the following guidance

- Job aids may be an appendix to an approved document
- Stand alone job aids may be schedules checklists flow charts diagrams and maps
- Low-level administrative procedures may be written as job aids
- Job aids shall not
  - — Be used in place of a procedure where a procedure is warranted
  - — Conflict or supersede approved procedural instructions
  - — Cover subject matter that would address safety envelopes radioactive materials

APPENDIX 5

EXAMPLE RMRS MANUAL, PROCEDURE, INSTRUCTION FORMAT

Rocky Mountain
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TYPE OF DOC

[TITLE]

[Unique Identifier No]
[Draft/Revision]
Effective Date XX/XX/XX [First Page Only]
Page 1 of XX

APPROVED _____ _____
[Responsible Manager Organization] Date

1 **PURPOSE**

[State the purpose of the document. Where possible, reference should be made to the driver (requirements, laws, orders, etc) leading to the development of the document.]

2 **SCOPE**

[State the scope of the document, including where it applies and where the procedure does not apply RM prescribe procedure utilization, where appropriate]

NOTE *Other sections may be included as deemed appropriate including but not limited to responsibilities requirements definitions*

3 **[Instruction, Direction, and/or Requirements, as appropriate]**

[Write the instructions to perform the activity in a complete and concise manner Care must be taken to assure all requirements are addressed]

[Instructions may be in a sequentially numbered format, presented as bullets, described in text paragraphs, or any combination of these. Instructions may also incorporate a reference such as a letter procedure, or checklist, by reference However if the reference is not a controlled document that is readily available to individuals using the document for the performance of an assigned task, a copy of the reference must be included as an appendix]

[Each step in a procedure or instruction, which controls or is used to meet an operational safety requirement (OSR), basis for operation (BFO) technical specification, or regulatory permit condition shall reference the specific requirement in bold typeface after the step This aides by providing a tie in between the source requirement and the implementation as well as reminding the operator of the source of the step]

4 **RECORDS**

[Documents must define all forms and other documents generated during the performance of the described activity and identify which of these forms and documents constitute records, which records are quality or non-quality records, where such records will be retained, and how they will be processed. Refer to RMRS-RM-06 02, Records Identification, Generation and Transmittal, and/or 1 PRO-077 WIPP-005 Management of WIPP Information Prior to Transmittal to NQA 1 Waste Records Center for records requirements.]

Record Identification	Record Type Determination	Protection / Storage Methods	Processing Instructions
Documents related to **WIPP/LL/LLM** [List related documents]	*[Identify the type of record.]*	[Describe the methods used to protect the documents and records from loss and/or degradation during use or in storage]	[Describe the processing instructions and the transmittal of documents and records to RMRS Document Control Center]
Documents **NOT** related to **WIPP/LL/LLM** [List related documents]	*[Identify the type of record.]*	[Describe the methods used to protect the documents and records from loss and/or degradation during use or in storage]	[Describe the processing instructions and the transmittal of documents and records to RMRS Document Control Center]

APPENDIX 6

EXAMPLE DOCUMENT REVIEW TRANSMITTAL CORRESPONDENCE

RMRS Rocky Mountain Remediation Services L L C
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INTEROFFICE CORRESPONDENCE

DATE [Date]

TO [Distribution]

FROM [Name, Organization Location, Extension]

SUBJECT Request for review and comment [Document Title and Number] - [Number]

ACTION Review and Comment by [Date]

Attached for your review and comment is the above referenced procedure This procedure is being revised/created for the following reason(s)

- [State the reason(s) for the revised/new document]

Please review the procedure and respond via e-mail [A Review Comment Sheet may be used and faxed/mailed if preferred] with your comments or concurrence no later than [Date] Comments received after this date will be considered for the next revision A response is requested even if you do not have any comments A 'no response' will be considered as concurrence

All comments should be identified as either (M) for mandatory, or (G) for general Comments not identified with (M) or (G) will be considered as general comments It is not necessary to use a Review Comment Sheet if comments are returned via e-mail E-mail comments will be handled using the same guidelines as used with the Review Comment Sheet Additional information regarding the review and comment process may be found in RMRS-QA-05 01, Preparation and Control of RMRS Documents

Thank you for your support

[Author Initials/Typist Initials]

Attachments
As Stated

Distribution
[Names and Affiliation as Required]

APPENDIX 7
RMRS DOCUMENT HIERARCHY

DOCUMENT	PURPOSE	APPLICABILITY	REVIEW/ CONCURRENCE	APPROVAL
Policy	Convey Senior management's expectations for RMRS regarding values principles philosophies goals standards, or accepted practices	Employees and subcontractors	Impacted Vice Presidents	President
Directive	Provide direction and/or responsibilities for controlling programmatic practices or activities within a department or group	Employees and subcontractors	Impacted Directors and RMs	President or Vice President responsible for the program
Manual	Incorporate the necessary and sufficient programmatic requirements needed to define and implement that program (not how to implement)	Employees and subcontractors	Impacted Directors and RMs	Director responsible for the associated task or activity
Engineering Technical Standard	Provide standard technical requirements / specifications for describing materials, products, systems, services or practices that are unique to the Site	Any person who performs or has responsibilities within the associated task or activity	Impacted Director(s)/RM/ Subject Matter Expert (SME)	Director of Engineering
Procedure* (Typically placed in a binder)	Provide detailed steps and necessary information for performing a test or activity in a consistent and safe manner Should be used while conducting activity	Any person who performs or has responsibilities within the associated task or activity	Impacted RM(s)/ SME & impacted subcontractors or designee	***Company wide or cross-cutting organizations Graded approach based on the functions defined in the document Program Specific Program Manager
Instruction** (Controlled but not auditable)	Provide instructions to perform a simple task or activity that if performed incorrectly will have minimal consequences Should be used while conducting activity	Any person needing the assistance of the instruction to perform the task or activity	Impacted RMs/Subject Matter Expert & impacted subcontractor(s) or designee	RM/ Supervisor/ Forman responsible for the associated task or activity
Job Aid** (Not controlled by Document Control)	Provide visual information as a reminder for the performance of a task (e g , drawings, tags graphs, or charts)	Any person desiring the assistance of the job aid to perform the task or activity	Impacted user's Manager/ Supervisor/Forman for the activity or task	At the discretion of the RM responsible for the activity or task

*Inclusive of documents identified in the Scope section of this procedure
**Not part of the Authorization Basis
*** The level of approval is one level higher that the Review/Concurrence
With the exception of Job Aids RMRS Document Control shall control the above documents